

DEPARTMENT OF HUMAN SERVICES POLICY AND PROCEDURES		
Reference: 01-09	Effective Date: July 12, 1999 Revision Date: October 8, 1999	Page: 1 of 7
SUBJECT: EMERGENCY MANAGEMENT/BUSINESS CONTINUITY POLICY		

RATIONALE: It is the policy of the Department of Human Services that all Divisions, Offices, and Institutions must develop, exercise, and maintain plans for the continuity of business operations in the event of a crisis. Whatever the situation, the Department's entities must be able to carry out their responsibilities to their clients, customers, vendors, employees, and the tax-paying public of the State of Utah. Plans must address the full range of resources including data processing, telecommunications, personnel, and workspace.

A crisis may arise as the result of an earthquake, a fire, a flood, or some other man-made event such as a power outage. The level of service to be provided in the event of a crisis must be determined based on the resources available and the missions of the individual agencies.

SCOPE: This policy applies to all Divisions, Offices and Institutions within the Department of Human Services. Agency management will assess the preparedness of all of their organizational groups and report annually to the Executive Director. The assessment will include the quantification and qualification of business exposures such as continued service delivery of critical business processes, life/safety controls, and other areas deemed appropriate by agency management.

PURPOSE: The purpose of this policy is to formalize the Business Continuity/Crisis Management Program of the Department of Human Services and provide guidelines for the development, maintenance, and exercising of Business Continuity/Crisis Management Plans. More importantly, the policy seeks to provide for the resumption of time sensitive business operations in accordance with pre-established time frames; recovery of less time sensitive business operations as required; and, ultimately the restoration of a permanent operating environment.

CONTINUITY PLANNING PROGRAM

The leadership team of the Department of Human Services has recognized the potential exposures associated with service interruptions and the importance of maintaining viable Emergency Response, Resumption, Recovery, and Restoration Strategies.

The Business Continuity/Crisis Management Planning Program is intended to provide a framework for constructing plans to ensure the safety of clients and employees with the resumption of time sensitive operations and services in the event of an emergency such as a fire, flood, power or telecommunications blackout, earthquake, civil disturbance, etc. The plans resulting from this Program will include detailed descriptions of when they are to be implemented and who is responsible for their execution.

Although the Program provides guidance and documentation on which to base emergency response, resumption, recovery, and restoration efforts, it is not intended to substitute for informed decision making. Division/Office/Institution Directors and accountable managers must identify and prioritize functions and services for which a disruption will result in shutting down the Department's less critical business functions. Plans must detail responsibilities and tasks for use in responding to emergencies and resuming operations based upon pre-defined time frames.

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RESPONSIBILITY

1. Crisis Management Team - The Crisis Management Team will provide management direction for Business Resumption and Recovery in the event of an emergency, such as a fire, earthquake, flood, power outage, or other event that causes a disruption of normal business operations. The Crisis Management Team will instruct the Division/Office/Institution Directors to invoke their Business Continuity/Crisis Management Plans. The Crisis Management Team will consist of the following individuals:

- a. Department Executive Director, or Deputy Director
- b. Director, Office of Administrative Support
- c. Director, Office of Administrative Support Regional Operations
- d. Department Business Continuity Coordinator/Risk Manager
- e. Department Public Information Officer
- f. Department Legal Counsel
- g. Office of Technology Representative
- h. Office of Human Resources Representative
- I. Office of Fiscal Operations Representative

2. Office of Administrative Support - The Office of Administrative Support will establish the organization and methodology for developing, maintaining, and exercising Department-wide Business Continuity/Crisis Management Plans that support the continuity of Department of Human Services operations and ensure compliance with this policy. The primary responsibility for these efforts will rest with the Department Business Continuity Coordinator.

- a. The Office of Administrative Support's responsibilities include:
 - (1) Develop a methodology and framework that will guide all areas of the Department in the development of specific agency continuity plans.
 - (2) Provide a comprehensive Business Continuity/Crisis Management Strategy to ensure proper coordination of all continuity plans and coordination of response, resumption, recovery, and restoration efforts under one Business Continuity/Crisis Management Program.

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(3) Maintain a centralized library and inventory of all Agency plans to ensure that the relationship among plans is workable.

(4) Ensure that an integrated exercise plan is developed that will examine the basic functions and responsibilities of all Agency plans and participants.

(5) Report annually on the status of the Department's preparedness to the Executive Director and Leadership Team.

(6) Provide a methodology to follow in the event of a loss for recording, tracking, and reporting to the Division of Risk Management.

(7) Coordinate with the State's Continuity Planning entities to ensure that the Department's plans support the overall efforts of the State.

(8) Coordinate with other Departments with whom Human Services has a working relationship to ensure that continuity plans do not conflict.

(9) Coordinate with organizations outside of State government to ensure that continuity plans do not conflict and can be supported.

b. The Department Business Continuity Coordinator's responsibilities include:

(1) Coordinate the response, resumption, recovery, and restoration planning efforts for the Department.

(2) Create and distribute planning standards, policies, and guidelines; assist in interpretation as required.

(3) Maintain a comprehensive Business Continuity/Crisis Management Program in cooperation with Division/Office/Institution management.

(4) Document and report the status of Department Business Continuity/Crisis Management Planning to responsible senior executives.

(5) Document and report the effectiveness of plan preparedness after exercises and service interruptions.

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3. Division/Office/Institution Directors - Division/Office/Institution Directors will enforce overall compliance with the Department's Business Continuity/Crisis Management Program's guidelines.

a. Division/Office/Institution Directors' responsibilities include:

- (1) Identify and prioritize Business Critical Processes and Services.
- (2) Designate an individual to coordinate the continuity planning for the Division/Office/Institution.
- (3) Establish a Contingency Planning Team to develop, exercise, and maintain the continuity plans for the Division/Office/Institution.
- (4) Oversee the continuity plan construction process; evaluate and approve the continuity plans developed.
- (5) Ensure the resumption and recovery preparedness for his/her Division/Office/Institution.

b. Division/Office/Institution Continuity Planner's responsibilities include:

- (1) Coordinate the continuity planning for the Division/Office/Institution.
- (2) Document and present plan status to accountable Director.
- (3) Activate plans when notified and authorized by Department Continuity Management Team.
- (4) Report the effectiveness of the plans to the Department Business Continuity Coordinator after an interruption or exercise.

c. Division/Office/Institution Contingency Planning Team's responsibilities include:

- (1) Identify Points of Failure and establish minimally acceptable levels of service for all Critical Business Processes and Services.
- (2) Develop solutions and strategies to deal with each Point of Failure and document same. Ensure that solutions and strategies are attainable; have a high probability of success; are verifiable via exercises; support timely response, resumption, and recovery activities; are cost-effective.

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4. Bureau of Internal Audit and Review - The Bureau of Internal Review and Audit will conduct periodic reviews to ensure that the planning requirements outlined in this policy are followed, and will monitor and evaluate Resumption and Recovery exercises in the Department.

PLANNING STANDARD

This Standard establishes the basis for continuity planning and resumption of business operations throughout the Department of Human Services. This Standard applies to all Department locations, business operations, and employees.

IMPLEMENTATION REQUIREMENTS

Plans should address the full range of essential resources needed for continued service delivery to be effective during Resumption and Recovery efforts. The plans must specify provisions for all resources required to resume, recover, or restore business operations, including those resources needed for access to computer applications. The resources should include requirements for workspace, telecommunications, transportation, computer hardware, supplies, and manual processes to temporarily replace automated systems.

1. Plan Development - To establish a plan, the following must be evaluated and documented using the established format:

- a. Division's/Office's/Institution's goals and objectives, overall and specifically during a crisis period.
- b. Interactions with clients.
- c. Interactions with other Federal, State, County, and City agencies.
- d. Interactions with private Vendors and Providers.
- e. Operations that will be resumed immediately, and when they will be made available.
- f. Operations that will NOT be resumed immediately, and when they WILL be made available.

The result of the above analysis will be a list of Business Critical Processes for each Division, Office, and Institution.

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2. **Resumption Strategies** - For each Business Critical Process, strategies must be developed that address the following considerations:

- a. Minimally acceptable service levels, standards, and time lines.
- b. Points of failure which will create an inability to deliver a critical process or service at the minimally acceptable service level and within the established time line.
- c. Each strategy that is developed to overcome a defined failure point must:
 - (1) Be attainable.
 - (2) Have a high probability of success.
 - (3) Be verifiable via exercises.
 - (4) Support timely response, resumption, recovery, and restoration activities.
 - (5) Be cost-effective.

The result of the above process will be a number of plans consisting of a series of tasks with staffing identified for each task, as well as associated costs, resources, and time lines. As appropriate, notification lists for clients, other government agencies, vendors, and providers may also be developed to ensure that prompt communication takes place during an emergency situation. Backup and alternate staffing may also be identified in the event the primary staff person is not available. Supporting resources may include telecommunications equipment, forms and supplies, office equipment, and hard copy of vital records.

3. **Plan Training and Exercising** - As a minimum, each Division/Office/Institution must:

- a. Provide training for affected staff.
- b. Conduct an exercise of the plans annually.
- c. Submit a report of the exercise objectives and results to the Department Continuity Coordinator within 30 days of the exercise conclusion.
- d. Adjust plans according to the results of the exercise and arrange to include the new plan areas in the next exercise.

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4. **Plan Maintenance** - As a minimum, each Division/Office/Institution must:
- a. Review all plans at least annually to ensure that they still meet the needs of the Agency.
 - b. Document and submit all plan changes as they occur to the Department Business Continuity Coordinator for inclusion in the Department planning database.

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